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U.S. CIVIL SERVICE COMMISSION
OFFICE OF THE CHAIRMAN
WASHINGTON, D.C. 20415

October 11, 1968

MEMORANDUM FOR HEADS OF DEPARTMENTS AND AGENCIES

Subject: Planning for Orderly Transition

In his memorandum of September 9, 1968, on planning for an orderly transition of the Presidency, Mr. Charles F. Murphy, Counselor to the President, said that the Civil Service Commission would prepare a memorandum of general applicability regarding "personal arrangements" for new appointees and "personnel policies and administration." This memorandum complies with Mr. Murphy's request and, with its attachments, is intended to assist you and your staff in preparing briefing materials for incoming officials.

Attached to this memorandum is an outline covering the points which I believe agencies should consider in developing briefing materials in the two areas mentioned above. You will want to modify this outline as appropriate and relate it to the particular situation in your agency; however, it will provide a general framework for preparation of briefing materials and provide check points for your consideration in developing these materials.

Wherever appropriate, the outline makes reference to specific publications on particular topics. This is to help your staff provide definitive information to the new officials on the areas covered. You may wish to provide new officials with a few of the publications mentioned. In particular, the pamphlet "The Federal Career Service--At Your Service" should be given to each incoming official. It gives a general picture of the Federal personnel system and how it works. Your agency has already ordered this pamphlet and the revised edition should reach you about November 15, 1968. The 1967 edition is available from the Commission should you have need for it before delivery of the revised edition.

Also attached is a copy of the report "Transition to a New Administration: The Personnel Director's Role" prepared by a committee of the Commission's Interagency Advisory Group. This report contains a number of suggestions for orderly transition and should provide a meaningful reference in developing such plans in your organization.

*Transition
(what needs)*

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Please inform your staff that they should feel free to call Mr. Irving Kator at the Civil Service Commission, Code 183, extension 7266, for any assistance the Commission can provide to you in preparing for an orderly transition. Sample copies of the publications mentioned in the attachment will be supplied to you on request.

John W. Macy
John W. Macy, Jr.
Chairman

Attachments

BRIEFING OUTLINE
ON
PERSONAL ARRANGEMENTS

The following subjects should be discussed with each new appointee as a means of briefing him on his personal arrangements in the Federal service and in his agency. The information to be supplied under each topic will vary from appointee to appointee and from agency to agency. Therefore, backup data for each topic is not provided here. However, for those items below of more general applicability, such as benefits and conflict of interest, information in the briefing outline on "personnel policies and administration" which follows will be useful.

- Characteristics of the appointment, including tenure
- Compensation
- Benefits, including leave, life and health insurance, and retirement
- Per diem and allowances
- Various office perquisites, including transportation services, dining privileges, etc.
- Travel arrangements
- Conflict of interest and ethics
- Immediate support staff available to appointee, including any personal staff
- Persons in the agency to contact for assistance on various matters

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BRIEFING OUTLINE FOR
PERSONNEL POLICIES AND ADMINISTRATION

1. Framework for civilian personnel management in Federal service
 - Commission's role *
 - Agency's role under delegated authority *
 - Role of the agency personnel office
2. How jobs are filled ^{1/}
 - The Civil Service Commission as the central personnel agency--examining responsibilities
(FPM Letters 331-1, 2, 3, and 4)

(Working for the USA, USCSC Pamphlet 4, May 1967)
 - (The Interagency Board Program, CIVIL SERVICE JOURNAL, January-March 1966)
 - (Accomplishment and Promise--IAB Progress Report, CIVIL SERVICE JOURNAL, January-March 1967)
 - Competitive service--types of appointment *
 - Excepted service
 - Appointment procedures
(See attached statement)
 - Consultants
(Employment and Compensation of Experts and Consultants, Personnel Management Series No. 3, Also see attached statement)
 - Executive Assignment System
(Executive Manpower Management through the Executive Assignment System)
 - Investigative and security requirements
(The Investigative and Suitability Evaluation Programs of the Civil Service Commission, Prepared by CSC)

(Hearing before the Subcommittee to Investigate the Administration of the Internal Security Act and other Internal Security Laws of the Committee on the Judiciary, U. S. Senate, 90th Congress, Senate Bill 2988, Part 4, March 26 and April 1, 1968)

* Where other reference is not given, see The Federal Career Service--At Your Service

^{1/} Excluding special personnel systems--Foreign Service, TVA, AEC

- Equal employment opportunity
(Equal Opportunity in Federal Employment, USCSC Pamphlet 65, July 1966)

(Encouraged But Not Satisfied, CIVIL SERVICE JOURNAL, April-June 1968)

3. How pay is set

- General Schedule *
- Coordinated Federal Wage System
(YOU and Fair Wages, Federal Employee Facts No. 7, August 1968)
- Special pay plans for certain agencies and groups *.

-- Comparability principle
(President's pay proposals to Congress in January 1967, Commission on Executive, Legislative, and Judicial Pay, White House News Release attached)

4. Motivating and controlling the workforce

- Promotions, reassignments, and transfers
(Federal Merit Promotion Program, Federal Employee Facts No. 5, September 1965)

(New Federal Merit Promotion Policy, USCSC Press Release, August 27, 1968)

(The Second Time Around, CIVIL SERVICE JOURNAL, October-December 1968 -- available about November 15, 1968)
- Within grade increases for service and exceptional level of competence
(Motivating Employees through Within-Grade Pay Increases, Personnel Management Series No. 17, November 1965)
- Award system for suggestions and superior performance
(The Incentive Awards Program for Federal Employees, prepared by CSC)

(A Cost-Conscious Work Force, by John W. Macy, Jr., in winter 1966-67 issue of DOD COST REDUCTION JOURNAL.)
- Training
(Government Workers, Cum Laude, March 1968. Reprinted from AMERICAN EDUCATION)

- Disciplinary actions, including suspensions, demotions, and separations
(FPM Chapter 752)
- Reductions in force
Reductions in Force in Federal Agencies, USCSC Pamphlet 41, February 1968)

5. Employee conduct

- Ethics
(Executive Order 11222 and President's statement on signing the Order, May 10, 1965)

(Memorandum to the President from Chairman Macy reporting on first year experience under the ethics program, June 17, 1966)

(FPM Chapter 735)
- Conflict of interest
(see above)
- Prohibited political activity
Political Activity: Rules for Federal Employees,
Federal Employee Facts No. 2, March 1964)

Political Activity of Federal Officers and Employees,
USCSC Pamphlet 20, May 1966)

(P.L. 89-554, Subchapter III--Political Activities,
attached)

6. Management responsibilities

- Using the skills of the career service *
- Labor-management consultation
Workshop on Employee-Management Cooperation, IAG PERSONNEL DIRECTORS' CONFERENCE, March 4, 1966)

Labor-Management Relations - Current Issues, discussion report in THIRD ANNUAL IAG PERSONNEL DIRECTORS' CONFERENCE, May 15, 1968)

(FPM Chapter 711)
- Avoidance of political coercion
(see Prohibited political activity above)

7. Employee rights

- Grievance machinery
(FPM Chapter 771)
- Appeals system to agency and to CSC
(Conducting Hearings on Employee Appeals, USCSC Personnel Methods Series No. 16, January 1968)
(FPM Chapter 772)

8. Employee benefits

- Leave - annual and sick *
- Retirement
(The Civil Service Retirement System, Federal Employee Facts No. 3, August 1968)
- Life insurance
(The Federal Employees Group Life Insurance Program, Standard Form No. 176-A, April 1968)
- Health insurance
(The Federal Employees Health Benefits Program, Standard Form 2805-A, July 1968)

EXCEPTED APPOINTMENTS

- o Regular civil service procedures DO NOT apply to ---
 - Positions Congress excepts--like positions the President fills with the advice and consent of the Senate and most positions of experts and consultants.
 - Positions the President excepts by Executive order.
 - Positions the Civil Service Commission excepts under noncareer executive assignment or under Schedules A, B, and C.
- o Noncareer executive assignments are made to confidential or policy-determining positions in GS-16, 17, and 18.
- o Schedules A and B list positions for which examination is not practicable. Schedule C list confidential or policy-determining positions not in GS-16, 17, and 18.
- o How excepted appointments are made ---
 - Agencies establish qualification requirements (Exceptions: Civil Service Commission does it for Schedule B positions and positions in GS-16, 17, and 18).
 - Candidates are ranked by agencies and selected under agency plans without regard to civil service lists.
 - Appointees are hired subject to investigation.
 - Agencies have to consider veteran preference and restrictions on hiring relatives and noncitizens.
 - In case of promotions between GS positions, employees have to meet time-in-grade (Whitten) requirements.

DO'S AND DON'T'S

- DO postpone appointment until security clearance is obtained to avoid making an employment commitment the agency may not be able to honor.
- DON'T abuse flexibilities of system to get employee on the rolls (such as, by appointing him as an expert or consultant when he will not in fact function as such). This could embarrass both the candidate and the agency and could result in imposition of restrictions on agency appointing authority.

(10/7/68)

EMPLOYMENT OF EXPERTS AND CONSULTANTS

A pamphlet written by the Civil Service Commission entitled "Employment and Compensation of Experts and Consultants" is available in the personnel office of each agency. This pamphlet is comprehensive in coverage, including information on the policy on use of experts and consultants in the Government, employment procedure, pay and travel expenses, tours of duty and leave, dual compensation and dual employment, conflict of interest, political activity restriction, security clearance requirements, and application of the Social Security Act. Experts and consultants employed temporarily for not more than one year or intermittently with no regular tour of duty, are not covered by the Civil Service Retirement Act and are ineligible for life insurance and health benefit coverage. This pamphlet should be studied before the appointment of any expert or consultant is sought.

Section 3109 of title 5, United States Code, is the principal authority for the employment of experts and consultants.

To summarize some of the more important points, agencies may obtain the temporary (not in excess of one year) or intermittent services of experts and consultants or organizations thereof without regard to the civil service or classification laws. However, in order to compensate experts and consultants, an agency must have additional authority in appropriation or other acts. Unless other rates are specifically authorized, the maximum rate of pay is equivalent to the highest rate for GS-15, except for certain scientific and professional positions when the pay can be set at the GS-18 rate.

The use of experts and consultants is a normal, legitimate, economical way to improve the product, service, or operation of an agency. Proper use of experts and consultants should be encouraged. This does not mean it is proper to use an expert or consultant to do a job that a regular employee can do, or one that calls for full-time continuous employment, or one organized to bypass competitive employment procedures or Classification Act pay limits. These devices are illegal.

In addition to the authority contained in section 3109, Schedule A of the civil service regulations provides authority for the appointment of experts for consultation. Authorities for the employment of special experts and consultants, contained in other statutes, which do not apply generally throughout the Federal Service, are not discussed in this summary.

Chapter 304 of the Federal Personnel Manual (available in the personnel office), contains specific information on the employment of experts and consultants.

(10/7/68)

SUBCHAPTER III—POLITICAL ACTIVITIES

§ 7321. Political contributions and services

The President may prescribe rules which shall provide, as nearly as conditions of good administration warrant, that an employee in an Executive agency or in the competitive service is not obliged, by reason of that employment, to contribute to a political fund or to render political service, and that he may not be removed or otherwise prejudiced for refusal to do so.

§ 7322. Political use of authority or influence; prohibition

The President may prescribe rules which shall provide, as nearly as conditions of good administration warrant, that an employee in an Executive agency or in the competitive service may not use his official authority or influence to coerce the political action of a person or body.

§ 7323. Political contributions; prohibition

An employee in an Executive agency (except one appointed by the President, by and with the advice and consent of the Senate)*may not request or receive from, or give to, an employee, a Member of Congress, or an officer of a uniformed service a thing of value for political purposes. An employee who violates this section shall be removed from the service.

§ 7324. Influencing elections; taking part in political campaigns; prohibitions; exceptions

(a) An employee in an Executive agency or an individual employed by the government of the District of Columbia may not—
(1) use his official authority or influence for the purpose of interfering with or affecting the result of an election; or
(2) take an active part in political management or in political campaigns.

For the purpose of this subsection, the phrase "an active part in political management or in political campaigns" means those acts of political management or political campaigning which were prohibited on the part of employees in the competitive service before July 19, 1940, by determinations of the Civil Service Commission under the rules prescribed by the President.

(b) An employee or individual to whom subsection (a) of this section applies retains the right to vote as he chooses and to express his opinion on political subjects and candidates.

(c) Subsection (a) of this section does not apply to an individual employed by an educational or research institution, establishment, agency, or system which is supported in whole or in part by the District of Columbia or by a recognized religious, philanthropic, or cultural organization.

(d) Subsection (a)(2) of this section does not apply to—
(1) an employee paid from the appropriation for the office of the President;
(2) the head or the assistant head of an Executive department or military department;
(3) an employee appointed by the President, by and with the advice and consent of the Senate, who determines policies to be

* See Title 18 USC 602, 603, and 607. See also pages 20 to 25
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Report of Workshop IV, Third Annual Conference
of Personnel Directors, May 15-18, 1968

Sponsored by
The Interagency Advisory Group
U. S. Civil Service Commission

Introduction

In July of 1960, Roger W. Jones, then Chairman of the U.S. Civil Service Commission wrote:

"Next January 20th, a new President of the United States will take office. Regardless of whether he is a Republican or a Democrat, new men and women in the Cabinet offices and the other key executive positions of the Government departments and agencies will assume responsibility for administering the Federal programs which have been authorized by thousands of separate laws. These will be new players stepping into roles they have not played before-- roles of tremendous and almost frightening importance to the welfare of 180 million Americans. The question the career civil service must answer without delay is this: In this vital and on-going drama of Government, do we shift the scenes between acts like true professionals, or like rank amateurs, after the curtain is up and the new actors are on stage?

"An important factor in a smooth transition from one national administration to another is advance preparation by the career staff...

"Federal career officials, and personnel officers in particular, must recognize and accept a dual responsibility: first, to prepare the agencies and the personnel of the agencies to respond to the programs and policies of the new administration, and second, to prepare to assist the new political officials to come to full effectiveness in their new roles as quickly as possible. The time to start both kinds of preparation is now.

"... Transition and the orientation of new political leaders will take place whether we plan for it or not; our only choice is whether it will be handled adequately or inadequately, insofar as we can influence the handling."¹ (Underscoring supplied)

Roger Jones' words still ring true and this report has been developed

¹ Roger W. Jones, "1961 Top Team Must Hit the Ground Running," Civil Service Journal, July-September 1960.

to provide recommendations to meet the needs of the transition period with particular reference to the role of the agency Director of Personnel.

Basic in the thinking of the Workshop was a recognition of the importance of these fundamental needs:

1. The need to anticipate problems and actions.
2. The need to communicate effectively and work with all persons concerned in the transition, and
3. The need to take positive action to help carry out the aims of the new Administration.

To assist in meeting these needs, a check list has been prepared to help agencies develop and carry out their own programs. The degree to which items in the check list will be used will vary from agency to agency depending upon the particular needs of the agency involved. The degree of use will also vary according to individuals. Unusual sensitivity to the background and, therefore, the real needs of individuals must be reflected by the Director of Personnel in his selection and preparation of any materials.

There is also included a series of major recommendations calling for specific actions by the White House, by the Bureau of the Budget, by the U.S. Civil Service Commission, by individual agencies, and by Directors of Personnel, themselves. Many of these recommendations cut across agency lines and, of special importance, call for co-ordinated and/or uniform action affecting all agencies.

The Workshop concluded that the principal ingredient in a transition to a new Administration, in the early stages, is people. Changes and refinements in policies and programs usually come later when the new Administration is established.

Because of the importance of personnel in the transition, the Director of Personnel in each agency can play a role of paramount responsibility. The role of the Director of Personnel, of course, will vary from agency to agency depending upon his position in the organizational hierarchy. In some instances, he may be subordinate to a senior career official or an Assistant Secretary for Administration, but in any case, his technical knowledge of personnel matters and his over-all familiarity with organization and operations place him in a position for a role of leadership in planning and implementing programs to assure a successful transition.

The planning and programming responsibilities which he assumes will involve not only personnel, but program areas as well. In this case, the role of the Director of Personnel will be to assure the proper input of materials developed by program and subject matter experts.

Utilizing his own resources, as well as those of the U.S. Civil Service Commission, the Bureau of the Budget, and administrative superiors, and acting in concert with them, the Director of Personnel can make a major contribution to the efficiency with which the impending transition to a new Administration occurs.

TRANSITIONAL NEEDS

I. THE INCOMING TEAM

A. Advance Assistance to Incoming Team. It is expected that most agencies should have developed much of the material which follows. However, this material should be kept current-- a living document of the agency itself. Materials that can be developed are:

1. Organization Charts -- Charts should reflect the total organization as well as the principal subdivisions. They should contain brief functional statements written in simple terms. They should stress the chief responsibilities of each of the major units.
2. Salary Charts
3. Breakdown of Agency Personnel -- This should be prepared by major organizational unit and show personnel ceilings and present strength. The number and levels of supergrades and executive level positions in each unit should be shown.
4. Excepted Service -- Indicate positions exempted from the usual civil service requirements. Show them by organizational units listing position title, incumbent, salary and status. (Include brief explanation of each type of excepted appointment.)
5. Key Personnel -- Arrange by organizational units and include bio-data sheets.
6. Basic Documents -- This should include abstracts and references to authorizing legislation, appropriation data, current budgetary information and other relevant materials.

B. Establishing Liaison With Incoming Designees. After a new head of the agency or department has been designated, the following steps can be taken:

1. Draft a letter for the retiring agency head to send to the new man indicating his willingness to cooperate, suggest a meeting, and to designate a senior career official to serve as a contact point to facilitate briefings and other take-over business.
2. After the usual courtesy meeting between the retiring

agency head and the new designee--

- a. One or more selected associates of the incoming agency head can be appointed. They would familiarize themselves with briefing materials, issues and other relevant matters. They could help set up briefing sessions, as desired, for the incoming agency head and could request preparation of other informational materials of particular interest to the new team.
- b. Begin personnel and security processing of other senior incoming appointees who are likely to come into office with the new agency head.
- c. Arrange, if desired, familiarization visits to key installations for the incoming agency head.

C. Personal Arrangements. Prepare information for every incoming Government executive.

1. Legal basis and tenure of appointment.
2. Conflict of Interest statutes.
3. Confirmation procedures, if applicable.
4. Compensation and related benefits -- include salary data, withholding, retirement, health and life insurance, injury compensation and leave.
5. Supporting and special services -- cover travel and transportation facilities and procedures, per diem and allowances, library, research resources, communications services, etc.

D. Information About the Agency

1. Summary of agency's mission, historic development and legislative authority.
2. Policy issues:
 - a. Current policy issues and significant decisions that may be required of the agency head (short- or long-run). A summary of each issue should be prepared on a separate sheet of paper, as follows:
 - (1) Brief description of the issue.
 - (2) Summary of studies and previous considerations.

- (3) Public relations aspects.
- (4) Special interest groups.
- (5) Internal impacts, i.e., cost, personnel, etc.
- (6) Legislative status and requirements, if any.
- (7) Agency authority to make decision for disposition of the issues.

b. Interagency requirements, procedures, contacts.

3. Organization Structure and Functions

a. Current structure and functions.

- (1) History of present organizational arrangement and functional alignment.
- (2) Relationship of structure to problems of policy.
- (3) Authority of the agency head to modify or enlarge functions.
- (4) Status of each unit with regard to expansion or contraction.
- (5) Biographical sketches of key personnel.

b. Lines of Communications

- (1) Publications-- brief description of types of internal directives.
- (2) Appropriate internal boards and committees.
- (3) Conference arrangements and facilities.
- (4) Information procedures-- periodic reports, weekly highlights, etc.
- (5) Developing, changing and issuing of policies, including clearance procedures.

4. Budget

a. Budget process

- (1) Basic program financing (trust funds, deficits, appropriated funds, bonds, etc.)

(2) The executive process-- relationship to overall budget of the President.

b. Current status

(1) Highlights and issues

(2) Effects of incoming Administration's platform or policy pronouncements.

c. Legislative process

(1) Appropriations Subcommittees

(a) House - Members and technical staff

(b) Senate - Members and technical staff

(2) Process

d. Authority of agency head to implement budget and distribute funds.

5. Personnel

a. Organization for personnel administration including delegations of authority.

b. Hiring, firing, reassignment, demotion, and promotion procedures.

(1) Excepted service

(2) Career service

(3) Consultants

c. Classification and pay setting

(1) Upper level positions

(2) Others

d. Labor-Management relations

(1) Executive policy

(2) Unions most frequently dealt with and biographical sketches of key officials.

- (3) Negotiated contracts, if any, highlights, and requirements.
- (4) Internal practices and policies relating to labor management.

e. Special Employment Programs

- (1) Employment of the handicapped, minority, disadvantaged.
- (2) Agency participation, statistics, if available.

f. Staff development and training

- (1) Executive briefing
- (2) Supervisory and managerial
- (3) Technical, skills, trades
- (4) Agency intern or apprentice program

g. Safety and health-- brief description of agency program with statistics on accidents and cost factors, if available.

h. Employee Conduct

- (1) Ethics
- (2) Conflict of interest
- (3) Community relations-- political activity, participation in community meetings, programs, etc.
- (4) Disciplinary principles, practices and authority.

i. Security requirements in filling sensitive jobs.

j. Grievance and appeal rights and procedures.

6. Administrative

- a. Contracting and procurement
- b. Buildings, space, equipment, etc.

- c. Use of public funds, equipment and Federal personnel
- d. Emergency plans, including defense relocation
- e. Mail, files, and messenger service

E. Governmental Relationships. To alert new appointees-- particularly those entering Government from outside --in their new roles as key officials in the Executive Branch, information on how the Federal Government works would be helpful. This could include: executive powers, the role of central managerial agencies, legislative-executive relationships, inter-governmental relationships, and public relations.

- 1. Constitutional Development -- Where appropriate, a brief analysis of constitutional development and the concept of the separation of powers.
- 2. Executive Powers -- Under this topic, some of the following should be covered:
 - a. Presidential powers, leadership roles, and coordinate authority.
 - b. Source of agency authority, and the degree to which authority is vested directly in certain subordinate bureaus or offices, rather than in the head of the agency.
 - c. Interagency relationships, particularly on substantive program matters.
 - d. Authority of agency head to organize, reorganize and "run" his department.
 - e. Problems, limitations, and concepts on delegations of power within an agency.
- 3. Role of Central Managerial Agencies -- The influence, leadership, and methods of operation of the following agencies should be described:
 - a. Bureau of the Budget -- As the "arm" of the President for the financial plans of the agency, legislative planning, interagency relationships, conformance with the President's program, policy clearance, etc.
 - b. Civil Service Commission -- As the central personnel authority and its role in the development of legislative and policy changes in personnel administration. Discussion should highlight: Executive Assignment

System, conflict of interest, labor management relations, equal employment, special employment programs, the career service and its exceptions, pay setting principles, etc.

- c. General Services Administration -- As central supply agency for common services such as space, equipment, supplies, construction, etc.
- d. Office of Emergency Planning -- With respect to emergency readiness planning.
- e. General Accounting Office -- With respect to basic financial controls and audits (although a Legislative Branch agency).
- f. Department of Justice -- With respect to Executive Orders and government litigation.

5. Legislative-Executive Relationships -- Description of the common denominators of relationships between agencies and congressional committees on both legislative development and on-going administration. Discussion should include: appearing before committees, working with technical staffs, clearances of policy statements, release of information and records, limitations, and the role of the career service in the presentation of testimony before committees of Congress.

6. Intergovernmental Relationships -- Issues and concerns on expansion of programs involving Federal-State-local operations through Grants-in-Aid, technical assistance, and exploration of the different authorities between levels of government.

7. Public Relations -- Orientation should embrace the "public" character of the responsibility of a public official or his "goldfish bowl" life, his accountability, his relations with the press, and his limitations.

II. PRESENT WORK FORCE

A. Problems and Concerns of Employees That Need to be Met. Employees are always concerned about the uncertainties caused by change. These concerns need to be recognized and dealt with as outlined in the following:

Regular Work Force

1. Effects of Change

- a. Possible change in work direction, possible loss of job or status in the organization.

- c. Use of public funds, equipment and Federal personnel
- d. Emergency plans, including defense relocation
- e. Mail, files, and messenger service

E. Governmental Relationships. To alert new appointees-- particularly those entering Government from outside --in their new roles as key officials in the Executive Branch, information on how the Federal Government works would be helpful. This could include: executive powers, the role of central managerial agencies, legislative-executive relationships, inter-governmental relationships, and public relations.

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 - a. Bureau of the Budget -- As the "arm" of the President for the financial plans of the agency, legislative planning, interagency relationships, conformance with the President's program, policy clearance, etc.
 - b. Civil Service Commission -- As the central personnel authority and its role in the development of legislative and policy changes in personnel administration. Discussion should highlight: Executive Assignment

B. Continuity of Function -- Response to Possible Redirection

1. Need to understand that essential actions will continue to be taken under existing ground rules until changed. Confirmation of continuity of functions pending evaluation and possible redirection is vital.
2. Evaluation and reassessment of existing programs should be expected and options on redirection are also a normal part of the process.
3. Responsibilities, relationships, and direction need to be confirmed or changed as quickly as possible.

RECOMMENDATIONS

The Workshop recommends that:

1. A Presidential statement or letter be issued immediately after the nominating conventions outlining the roles of the Bureau of the Budget and the U.S. Civil Service Commission in the transition process, and for coordinating agency orientation programs for the transition.
2. An individual or organizational unit within the Bureau of the Budget and the U.S. Civil Service Commission be designated to carry out the functions outlined in the statement.
3. A direct channel or communication be established between the Bureau of the Budget, the U.S. Civil Service Commission and the agency Director of Personnel to permit ready access between the agencies in coordinating transition plans and programs.
4. The Director of Personnel, within the individual agency, should assume a leadership role in planning and implementing material and programs for an efficient transition.

In addition to supporting the agency level, the White House, the Bureau of the Budget and the U.S. Civil Service Commission have specific responsibilities and duties in the transition period.

The White House¹

White House support of the Civil Service Commission and the agency's effort is crucial to the success of a smooth transition. In addition, the White House has an important responsibility toward the continuity of the career civil service and for encouraging incoming officials

¹Includes the incoming President's liaison group.

to participate in orientation programs.

The Workshop recommends that:

1. The President and President-elect recognize in public statement the integrity of the career civil service.
2. The White House prepare a letter to each incoming official outlining orientation plans for the individual and encouraging the new official to participate in agency and U.S. Civil Service Commission programs.
3. The White House establish a central point to provide new appointees with information on travel, housing and living in the Washington area prior to departure for their positions.

The Bureau of the Budget

The Bureau of the Budget, in its unique position with the White House, has a special role in the transition period. In addition to the responsibilities it normally has in the transition,

the Workshop recommends that:

1. The Bureau of the Budget provide the agency and the U.S. Civil Service Commission with its compilation of party and candidate statements on relevant issues for use in orientation planning and programming.
2. The Bureau of the Budget provide the agency with pertinent position papers relating to legislative or budget matters for use in orientation.
3. The Bureau of the Budget, in cooperation with the White House, participate in briefing sessions for incoming officials on such matters as budget procedures, the legislative process, and management and policy philosophy.

The U.S. Civil Service Commission

The U.S. Civil Service Commission has the primary responsibility for explaining and interpreting the total Federal Government personnel structure and operations to incoming officials. Its training capability and resources are well suited for these purposes.

The Workshop recommends that:

1. The U.S. Civil Service Commission prepare a "Guide to Transition" describing the interagency machinery established to provide for the transition.

2. The U.S. Civil Service Commission program a series of orientation briefings for high-level, incoming officials on such subjects as (a) the Executive Assignment System, (b) the difference between the Career Service and the Excepted Service, (c) principles of pay setting, (d) the role of the U.S. Civil Service Commission, (e) conflict of interest, (f) EEO, and (g) labor-management relations.
3. Utilizing the resources of the Bureau of the Budget, the U.S. Civil Service Commission program briefings on such subject as "How to Get Things Done in Government" and "Executive-Legislative Branch Relationships."
4. The U.S. Civil Service Commission publish and distribute to agencies informative, brief and attractive brochures on such topics as the Executive Assignment System and general statements on EEO, employee unions, etc.
5. The U.S. Civil Service Commission revise its publication, The Federal Career Service ... at Your Service and distribute it to agencies.
6. The U.S. Civil Service Commission publish a format for a letter informing incoming and outgoing officials of personal data similar to that suggested in the example letters included in this Report. The letter would be completed in the individual agency for use as a basis in personal counseling.
7. The U.S. Civil Service Commission publish and distribute to agencies loose-leaf pages containing information on the excepted service, salary table, and brief general statements on personnel subjects. These pages would be included in agency briefing books, as appropriate.
8. The U.S. Civil Service Commission hold a one- or two-day institute in November for Personnel Directors on the transition.

The Agency's Office of Personnel

The Director of Personnel, as appropriate and consistent with his position within the agency's organizational hierarchy, should take immediate and positive action to prepare himself and his staff for rendering maximum service and responsiveness to the new Administration.

The Workshop recommends that:

1. The Director of Personnel arrange for briefings for incoming officials on such subjects as description of the agency,

authorities, the issuance system, external relationships, internal relations, policy positions, immediate problems, and administration.

2. The Director of Personnel meet with key personnel (career and non-career) to explain possible personnel changes.
3. New officials call a mass assembly of employees, where possible, to become better acquainted and to explain program and management philosophy.
4. The Director of Personnel provide personal counseling to individual incoming-outgoing officials utilizing the letter format developed by the U.S. Civil Service Commission.
5. The Director of Personnel brief selected key personnel on the services available from the Office of Personnel to complement program objectives.
6. An Orientation Book for each agency be developed utilizing standardized material where possible.
7. The Director of Personnel encourage the incoming agency head to communicate to all career employees his support of the career service.

Conclusions

The Workshop recommends that:

1. Agreement on transition procedures and machinery be reached as soon as possible so that planning and operations may begin immediately following the nominating conventions and the elections.
2. Following the transition, the IAG appoint a Committee to evaluate procedures adopted for the benefit of future planning and improvement.

SAMPLE BRIEFING BOOK FOR USE BY AGENCY PERSONNEL OFFICES

The Workshop recommends that:

1. Agencies use the format that follows in briefing books, where possible.
2. Material used in the briefing book be of specific interest to the incoming official and that briefing books be "tailored" to meet individual needs.
3. Information be in graphic form, if possible. If not, that narratives be brief, understandable language.

INDEX TO BRIEFING BOOK

General Information

Agency Mission and History
Organization Charts
Budget Information

Policy Issues

Sample Sheet

Personnel Matters

Total Personnel
Salary Scale
The Excepted Service
Excepted Service Positions
Key Personnel
Sample Bio-Data Sheet
The Agency Personnel Office

GENERAL INFORMATION

AGENCY MISSION & HISTORY

Agency Mission: A brief narrative describing the primary mission of the agency.

Agency History: A brief narrative on the historical development of the agency.

Agency Legislative Authority: A brief reference to agency organic laws and citation of legislative authorities for major program activities.

ORGANIZATION CHARTS

The organizational chart should include functional statements of the major subdivisions in the agency.

BUDGET INFORMATION

1. Budget information should be presented in graphic form for the entire agency.
2. Budget figures for the major subdivisions and program areas should be presented in narrative form.

POLICY ISSUES

(A separate sheet should be used for each major policy issue.)

SAMPLE SHEET FOR POLICY ISSUE

Description of Issue: A concise statement of the issue.

Background: A brief summary of studies and previous recommendations.

Agency Considerations: A brief discussion of internal considerations, such as effects on budget or personnel.

External Considerations: A brief statement on intra-government problems and any public relations aspects.

Legislative Status: A brief summary of legislative history and present status.

Agency Contact: A reference to the subdivision or person primarily responsible or concerned with the issue.

PERSONNEL MATTERS

TOTAL PERSONNEL

Information should be arranged by organizational unit, showing personnel ceilings and present agency strength.

SALARY SCALE

Tables of salary scales should be included in the briefing book, showing, where appropriate, salaries under the Classification Act, the Foreign Service, the Wage Scale, etc.

The U. S. Civil Service Commission will supply tables appropriate for government-wide use.

THE EXCEPTED SERVICE

The U. S. Civil Service Commission should provide a clear, concise statement on the excepted service and the use of consultants in Government for Government-wide use in briefing books.

EXCEPTED SERVICE POSITIONS

Excepted service positions should be arranged by organizational unit and show position title, incumbent, salary and status.

KEY PERSONNEL

Information on key personnel should be arranged by organizational unit and include bio-data sheets.

Bio-data sheets should be developed in a format suitable for Government-wide use.

Color coded bio-data sheets should be used to permit easy identification of personnel in Schedules A, B, C, and career service positions.

SAMPLE BIO-DATA SHEET

Name:

Grade & Salary:

Position:

Status:

Personal Data

Date of Birth:

Place of Birth:

Marital Status:

Security Clearance:

Experience Data (last 10 years, beginning with most recent)

<u>Dates</u>	<u>Position Title</u>	<u>Organization</u>
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Education

<u>Dates</u>	<u>Institution</u>	<u>Degree</u>
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Other Information

THE AGENCY PERSONNEL OFFICE

A statement should show key personnel in the Office of Personnel and an outline of their major functions.

Information should be provided to answer questions on who does what.

SAMPLE LETTERS FOR USE BY AGENCY PERSONNEL OFFICES

The following two letters are samples. It is possible that others should be added and suggestions for such additions should come from the Directors of Personnel.

MEMORANDUM FOR

SUBJECT: ENTRANCE ON DUTY

This memorandum provides you with some general information regarding your personal arrangements as a Government executive.

Your Pay

Your salary as _____ is \$ _____ per annum.

You are paid every _____.

An Earnings and Leave Statement is furnished explaining earnings and payroll deductions. The usual deductions are: Withholding Tax (State and Federal), Civil Service Retirement or Social Security. In addition if you elect, these benefit deductions will also be made: Life Insurance premiums, Federal Employees Health Insurance premiums, U.S. Savings Bonds/Freedom Shares, and contributions to the Combined Federal Campaign.

Civil Service Retirement (if appropriate)

Six and one-half percent of your salary goes into the Civil Service Retirement Fund, and is deducted from each pay check. Among the materials enclosed with this memorandum is a fact sheet on retirement regulations and benefits. Retirement deposits are refundable on your departure from Federal service, or may be left in the Fund affording you an annuity when you are 62 years old.

Social Security

If you have a temporary appointment, Social Security will be deducted at the rate of 4.4% of the first \$7,800 of any salary paid in 1968, increasing to 4.9% beginning January 1969.

Annual Leave (Presidential Appointees do not earn annual leave)

The amount of leave you earn depends upon the length of service. Full-time employees earn annual leave as follows:

<u>Creditable Service</u>	<u>Accrual per Year</u>
Less than 3 years service	13 days
3 to 5 years of service	20 days
15 years or more service	26 days

The maximum amount of leave which you may accumulate and carry forward from one leave year to the next is 30 days or your authorized ceiling. No annual leave may be taken within 90 calendar days after your

appointment, although leave is earned during that period. Current accrued annual leave in excess of your allowed maximum is lost if not used before the end of the leave year.

Sick Leave (Presidential Appointees do not earn sick leave)

Thirteen days of sick leave are earned each year and may be conserved and accumulated without limitation.

Group Life Insurance

There are two types of insurance offered. The regular insurance is based on your yearly salary and paid for jointly by the Government and you. The cost to you is 27½ cents per \$1,000 of insurance. The maximum amount of insurance is \$32,000. You may also elect an additional optional insurance in the amount of \$10,000. It may be taken only in addition to the regular coverage, and premiums are paid by you based on your age.

Age - 35	\$ 78 per year or \$3.00 per pay period
35 - 55	156 " 6.00 "
55 -	520 " 20.00 "

Federal Group Life Insurance is term insurance. It does not have cash, loan, paid-up or extended insurance equities.

You may elect regular insurance only, the regular and optional insurance, or waive coverage completely. Forms will be furnished by the Office of Personnel.

Within 31 days after you leave Federal service, you may convert your Group Life Insurance, without physical examination, to a standard individual policy.

Health Insurance

Unless your appointment is limited to one year or less, you are eligible to enroll in the Federal Employees Health Benefits Program. You have 31 days after you are appointed in which to enroll. The Health Benefits Program provides hospital and medical insurance for yourself and your family, or for yourself only, under either high or low option coverage. The material enclosed explains in detail the benefits and cost to you for the three major plans.

MEMORANDUM FOR

SUBJECT: Termination of Federal Employment

This memorandum contains general information on the benefits available to you upon leaving the Federal service.

Final Salary and Accrued Annual Leave

	<u>Gross</u>	<u>Ret.</u>	<u>Fed Tax</u>	<u>St. Tax</u>	<u>HB</u>	<u>LI</u>	<u>Bond Refund</u>	<u>Net</u>
Base Hrs. —								
Annual Leave Hrs. —								
Holiday Hrs. —								
TOTAL —								

When you leave the Federal service (and if eligible) you will receive a lump-sum payment for unused annual leave up to your maximum accumulation allowance, which is — hours. Current leave accruals which cannot be included in the lump-sum payment should be used prior to separation.

Civil Service Retirement (Estimated) Per Month

Immediate annuity (if retiring now)

Maximum annuity

After reduction for optional service

After reduction for refund periods

After reduction for being under age 55

After reduction for survivor annuity

Survivor annuity

Annuity of eligible children (age 18 -- or 22, if they are unmarried and in school until then)

Deferred Retirement

Since you have completed more than five years of service, you may leave your deposit in the Retirement Fund and receive a monthly

annuity upon reaching age 62. Your annuity at that time is shown below:

	<u>Per Month</u>
Maximum annuity	
After reduction for optional service	
After reduction for refund periods	
After reduction for being under age 55	
After reduction for survivor annuity	
Survivor annuity	
Annuity of eligible children (age 18 -- or 22, if they are unmarried and in school until then)	

Retirement Refund

If you have completed less than five years of civilian service, you may request a refund of your contributions to the Retirement Fund.

If the service is one year or less, your contribution will not have earned interest. If the service has been more than one year, interest will be paid to the date of your separation. If you have completed five years or more of service and are eligible for a deferred retirement annuity, you may obtain a refund of your retirement contributions, but without interest. Forms for requesting refunds are available from the Office of Personnel.

Social Security Benefits

If your employment has been covered under Social Security, you should contact your nearest Social Security Administration field office for information.

Federal Employees' Health Benefits

If you are retiring on an immediate annuity, your enrollment will continue with the same benefits at present costs provided the following conditions are met: (a) you must be retiring for disability or have completed at least twelve years service, (b) five of your years of service must have been as a civilian, and (c) you must have been enrolled in the program (1) during the five years immediately preceding retirement, (2) during all your service since you first had an opportunity to enroll, or (3) during all your service since December 31, 1964, since you became eligible to enroll. If you meet these conditions, \$ ____ will be deducted from your monthly annuity

for health benefits coverage.

If you are not retiring, your health benefits coverage will continue for 31 days after the date of your separation. During that time, you may convert to a non-group contract, offered by your health insurance company without a physical examination or other evidence of insurability. You will receive a Notice of Termination of Enrollment from the Office of Personnel. A space is provided on the form for you to apply directly to the insurance company for a non-group policy.

Federal Employees' Group Life Insurance

If you are retiring, the life insurance transfers automatically to the retirement system. Regular life insurance is provided without cost to the retiree. However, at age 65 (or the effective date of retirement, if over 65), the amount of the coverage reduces at the rate of 2% per month until 25% of the amount in force at the time of retirement is reached. The \$_____ life insurance you now have will reduce to \$_____ after age 65. The \$10,000 optional life insurance will also reduce to \$2500 and be without charge after age 65. If you are over age 55, deduction of \$43.33 will be made from your annuity until you reach age 65, if you have elected the optional insurance.

If you are not retiring (or retiring with less than twelve years service), your policy will remain in effect for 31 days, during which you may convert to an individual policy by notifying the insurance company. You will receive a Notice of Termination of Insurance from the Office of Personnel, and a form to use if you wish to convert to an individual policy.

Travel to First Duty Station